



OCT 23 2006 Attorney's Docket No. 003660.P019DC

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

Marc Alaia

Application No.: 09/832,437

Filed: April 11, 2001

For: Method And System For Dynamically
Controlling an Electronic Auction
DURING THE TRANSITION TO A
CLOSED STATE

Examiner: Milef, Elda G.

Art Unit: 3628

Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

Enclosed is a copy of Information Disclosure Citation Form PTO-1449 or PTO/SB/08 together with copies of the documents cited on that form. It is respectfully requested that the cited documents be considered and that the enclosed copy of Information Disclosure Citation Form PTO-1449 or PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage in an envelope addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450 on October 18, 2006.

(Date of Deposit)

Michelle Begay

(Typed or printed name of person mailing correspondence)

Michelle Begay

(Signature of person mailing correspondence)

Pursuant to 37 C.F.R. § 1.97, the submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed as an admission that the information cited in this statement is material to patentability.

Pursuant to 37 C.F.R. § 1.97, this Information Disclosure Statement is being submitted under one of the following (as indicated by an "X" to the left of the appropriate paragraph):

X 37 C.F.R. §1.97(b).

_____ 37 C.F.R. §1.97(c). If so, then enclosed with this Information Disclosure Statement is one of the following:

_____ A statement pursuant to 37 C.F.R. §1.97(e) or

_____ A check for \$180.00 for the fee under 37 C.F.R. § 1.17(p).

_____ 37 C.F.R. §1.97(d). If so, then enclosed with this Information Disclosure Statement are the following:

(1) A statement pursuant to 37 C.F.R. §1.97(e); and

(2) A check for \$180.00 for the fee under 37 C.F.R. §1.17(p) for submission of the Information Disclosure Statement.

If there are any additional charges, please charge Deposit Account No. 02-2666.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Dated: October 18, 2006



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Substitute for Form 1449/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
(use as many sheets as necessary)

Complete if Known	
Application Number	09/832,437
Filing Date	April 11, 2001
First Named Inventor:	Marc Alaia
Art Unit	3628
Examiner Name	Milef, Elda G.

Sheet		1 of 4	Attorney Docket Number	3660P019DC
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U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (If known)			
	us-	3,581,072	5/25/1971	Nymeyer	
	us-	3,863,060	1/28/1975	Rode et al.	
	us-	4,597,045	6/24/1986	Kiuchi	
	us-	4,674,044	6/16/1987	Kalmus et al.	
	us-	4,789,928	12/6/1988	Fujisaki	
	us-	4,799,156	1/17/1989	Shavit et al.	
	us-	4,842,275	6/27/1989	Tsatskin	
	us-	5,640,569	6/17/1997	Miller et al.	
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	us-	5,799,285	8/25/1998	Klingman	
	us-	5,809,483	9/15/1998	Broka et al.	
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	us-	5,862,223	1/19/1999	Walker et al.	
	us-	5,897,621	4/27/1999	Boesch et al.	21
	us-	5,905,975	5/18/1999	Ausubel	81
	us-	5,915,209	6/22/1999	Lawrence	
	us-	5,966,699	10/12/1999	Zandi	
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	us-	6,058,379	5/2/2000	Odom et al.	
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	us-	6,199,050 B1	3/6/2001	Alaia et al.	
	us-	6,223,167 B1	4/24/2001	Alaia et al.	

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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS.

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Application Number	09/832,437
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First Named Inventor:	Marc Alaia
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Examiner Name	Milef, Elda G.
Attorney Docket Number	3660P019DC

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2 of 4

Attorney Docket Number

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Sheet		Attorney Docket Number	3660P019DC
3 of 4			

FOREIGN PATENT DOCUMENTS

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Art Unit	3628
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Sheet	4 of 4
	Attorney Docket Number

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
		J. Sairamesh, et al., "Economic Framework for Pricing and Charging in Digital Libraries," D-Lib Magazine, ISSN 1082-9873 (February 1996)	
		Online Bidding Software," Electronic Buyers' News, Issue No. 1072, p. 86, 1/6p (August 25,, 1997)	
		"Broadvision Developing First Interactive Commerce Management System to Support Online Sales & Marketing Process; New Software Category Necessary to Interactive Network Architecture," Business Wire, p. 5150152 (May 15, 1995)	
		Lee, Ho Geun, "Do electronic marketplaces lower the price of goods?" Communications of the ACM, V. 41, No. 1, pp. 73-80 (January 1998)	
		"Venture Capitalists Fund Two Massachusetts Internet Related Companies," Boston Globe (January 14, 1998)	
		"Moai Technologies Introduces New Categories of Business to Business Auction Software," Business Editors and Computer Writers (March 16, 1998)	
TC	4	Kikuchi, et al., "Multi-Round Anonymous Auction Protocols," IEICE Trans. Inf. & Syst., Vol. E82-D, November 4 (April 1999)	
		FCC AUCTION, PROCEDURES, TERMS AND CONDITIONS retrieved from < http://wireless.fcc.gov/auctions/17/releases/lmdsbp_p.pdf > (December 1997)	
		M. Reck, "Types of Electronic Auctions," Hochschule St. Gallen	
		C. Wrigley, "Design Criteria for Electronic Market Servers," Electronic Markets, Vol. 7, No. 4 (1997)	
		Wurman et al., "The Michigan Internet AuctionBot: A Configurable Auction Server for Human and Software Agents," Artificial Intelligence Laboratory, University of Michigan (1998)	
		Buyer's Auction Online, http://buyersauction.com/userinfo.htm (1998)	
		Keith Ervin, "Three Tree Point Property Draws 1.5 Million Bid," Seattle Times (February 11, 1998)	

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